FORM D

U.S. POST OFFICE

UNITED STATES MED
SECURITIES AND EXCHANGE COMMISSION
Weshington D.C. 20549

Washington, D.C. 20549

## **FORM D**

NOTICE OF SALE OF SECURITIES PURSUANT TO REGULATION D, SECTION 4(6), AND/OR

NIFORM LIMITED OFFERING EXEMPTION

OMB APPROVAL
OMB Number: 3235-0076
Expires: November 30, 2001
Estimated average burden
hours per response . . . 16.00

SEC USE ONLY				
Prefix	l	Serial		
DA	TE RECEIN	/ED		

Name of Offering Check if this is an amendment and name has changed, and inc	dicate change.) 21-39597
MP DeWaay Fund, LLC	
Filing Under (Check box(es) that apply): ☐ Rule 504 ☐ Rule 505 🗷 Rule 506	☐ Section 4(6) ☐ ULOE
Type of Filing: ☐ New Filing ☑ Amendment	
A. BASIC IDENTIFICATION DATA	
1. Enter the information requested about the issuer	
Name of Issuer ( check if this is an amendment and name has changed, and indica MP DeWaay Fund, LLC	te change.) 02013134
	Telephone Number (Including Area Code) 925-631-9100
Address of Principal Business Operations (Number and Street, City, State, Zip Code) (if different from Executive Offices)	Telephone Number (Including Area Code)
Brief Description of Business ACQUIRE AND HOLD REAL ESTATE SECURITIES (PRIMARILY) FOR INVESTMENT. GAINS WHEN APPROPRIATE.	TRADE THE SECURITIES FOR CAPITAL  PROCESSE
	Souther (please specify):  LIMITED LIABILITY COMPANY THOMSON
Actual or Estimated Date of Incorporation or Organization:    Month   Year     1   2   9   9     Jurisdiction of Incorporation or Organization: (Enter two-letter U.S. Postal Service abbut CN for Canada, FN for other foreign ju	FINANCIAL  Actual

## GENERAL INSTRUCTIONS

## Federal:

Who Must File: All issuers making an offering of securities in reliance on an exemption under Regulation D or Section 4(6), 17 CFR 230.501 et seq. or 15 U.S.C. 77d(6).

When To File: A notice must be filed no later than 15 days after the first sale of securities in the offering. A notice is deemed filed with the U.S. Securities and Exchange Commission (SEC) on the earlier of the date it is received by the SEC at the address given below or, if received at that address after the date on which it is due, on the date it was mailed by United States registered or certified mail to that address.

Where to File: U.S. Securities and Exchange Commission, 450 Fifth Street, N.W., Washington, D.C. 20549.

Copies Required: Five (5) copies of this notice must be filed with the SEC, one of which must be manually signed. Any copies not manually signed must be photocopies of the manually signed copy or bear typed or printed signatures.

Information Required: A new filing must contain all information requested. Amendments need only report the name of the issuer and offering, any changes thereto, the information requested in Part C, and any material changes from the information previously supplied in Parts A and B. Part E and the Appendix need not be filed with the SEC.

Filing Fee: There is no federal filing fee.

### State

This notice shall be used to indicate reliance on the Uniform Limited Offering Exemption (ULOE) for sales of securities in those states that have adopted ULOE and that have adopted this form. Issuers relying on ULOE must file a separate notice with the Securities Administrator in each state where sales are to be, or have been made. If a state requires the payment of a fee as a precondition to the claim for the exemption, a fee in the proper amount shall accompany this form. This notice shall be filed in the appropriate states in accordance with state law. The Appendix to the notice constitutes a part of this notice and must be completed.

- ATTENTION

Failure to file notice in the appropriate states will not result in a loss of the federal exemption. Conversely, failure to file the appropriate federal notice will not result in a loss of an available state exemption unless such exemption is predicated on the filing of a federal notice.

## A. BASIC IDENTIFICATION DATA

- 2. Enter the information requested for the following:
- Each promoter of the issuer, if the issuer has been organized within the past five years;
  - Each beneficial owner having the power to vote or dispose, or direct the vote or disposition of, 10% or more of a class of equity securities of the issuer;
  - Each executive officer and director of corporate issuers and of corporate general and managing partners of partnership issuers; and
  - Each general and managing partner of partnership issuers.

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Ow	ner	☐ Director	☑ General and/or Managing Partner
Full Name (Last name first, if individual)			
MacKenzie Patterson, Inc.			,
Business or Residence Address (Number and Street, City, Sta	ate, Zip Code)	····	
1640 School Street, Moraga, CA 94556			
Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Ow	ner 🔀 Executive Officer	☐ Director	General and/or Managing Partner
Full Name (Last name first, if individual)			
C.E. Patterson			
Business or Residence Address (Number and Street, City, Sta	ite, Zip Code)		<u> </u>
1640 School Street, Moraga, CA 94556	·		
Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Own	ner 🗷 Executive Officer	☐ Director	☐ General and/or Managing Partner
Full Name (Last name first, if individual)		<del></del>	
Berniece Patterson	4		
Business or Residence Address (Number and Street, City, Sta	ite, Zip Code)		
1640 School Street, Moraga, CA 94556			
Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Own	ner 🛮 🗷 Executive Officer	☐ Director	☐ General and/or Managing Partner
Full Name (Last name first, if individual) Jeri Bluth			<u> </u>
Business or Residence Address (Number and Street, City, Sta	ate, Zip Code)	-	
1640 School Street, Moraga, CA 94556			
Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Own	ner	□ Director	General and/or Managing Partner
Full Name (Last name first, if individual)			
Business or Residence Address (Number and Street, City, Sta	ate, Zip Code)		
Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Own	ner	☐ Director	☐ General and/or Managing Partner
Full Name (Last name first, if individual)			
Business or Residence Address (Number and Street, City, Sta	te, Zip Code)		
Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Own	ner	☐ Director	☐ General and/or Managing Partner
Full Name (Last name first, if individual)			
Business or Residence Address (Number and Street, City, Sta	te, Zip Code)		
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(Use blank sheet, or copy and use a	dumonal copies of this sheet	, as necessary.)	

B. INFORMATION ABOUT OFFERING	
1. Has the issuer sold, or does the issuer intend to sell, to non-accredited investors in this offering?	Yes No · ⊠ □
Answer also in Appendix, Column 2, if filing under ULOE.	_
2. What is the minimum investment that will be accepted from any individual?	\$ 30,000.00
3. Does the offering permit joint ownership of a single unit?	Yes No · ⊠ □
4. Enter the information requested for each person who has been or will be paid or given, directly or indirectly, any comm sion or similar remuneration for solicitation of purchasers in connection with sales of securities in the offering. If a per to be listed is an associated person or agent of a broker or dealer registered with the SEC and/or with a state or stalist the name of the broker or dealer. If more than five (5) persons to be listed are associated persons of such a broor dealer, you may set forth the information for that broker or dealer only.	son tes,
Full Name (Last name first, if individual)	
NORTH COAST SECURITIES CORPORATION	
Business or Residence Address (Number and Street, City, State, Zip Code)	
595 MARKET STREET, SUITE 2100, SAN FRANCISCO, CA 94105	
Name of Associated Broker or Dealer	
NORTH COAST SECURITIES CORPORATION (OVER 5 ASSOCIATED PERSONS)	
States in Which Person Listed Has Solicited or Intends to Solicit Purchasers	
(Check "All States" or check individual States)	. □ All States
[AL] [AK] (AZ) [AR] (CA) (CO) (CT) [DE] [DC] (FL) (GA) [HI	] [ID]
(IL) (IN) (IA) [KS] [KY] [LA] [ME] (MD) (MA) (MI) [MN] [MS	
[MT] [NE] (NV) [NH] (NJ) (NM) (NY) [NC] [ND] (OH) [OK] (OR	
[RI] (SC) [SD] (TN) [TX] [UT] [VT] (VA) (WA) [WY] (WI) [WY	[ PR ]
Full Name (Last name first, if individual)	
VSR FINANCIAL SERVICES	
Business or Residence Address (Number and Street, City, State, Zip Code)	· · · ·
8620 WEST 110TH STEET, SUITE 200, OVERLAND PARK, KS 66210	
Name of Associated Broker or Dealer	•
VSR FINANCIAL SERVICES (OVER 5 ASSOCIATED PERSONS)	
States in Which Person Listed Has Solicited or Intends to Solicit Purchasers	,
(Check "All States" or check individual States)	. All States
[AL] [AK] [AZ] [AR] [CA] [CO] [CT] [DE] [DC] [FL] [GA] [HI	
[IL] [IN] [IA] [KS] [KY] [LA] [ME] [MD] [MA] [MI] [MN] [MS	
[MT] [NE] [NV] [NH] [NJ] [NM] [NY] [NC] [ND] [OH] [OK] [OR	
[RI] [SC] [SD] [TN] [TX] [UT] [VT] [VA] [WA] [WV] [WI] [WY	
Full Name (Last name first, if individual)	
	·
Business or Residence Address (Number and Street, City, State, Zip Code)	<u> </u>
Name of Associated Broker or Dealer	
States in Which Person Listed Has Solicited or Intends to Solicit Purchasers	
(Check "All States" or check individual States)	.   All States
[AL] [AK] [AZ] [AR] [CA] [CO] [CT] [DE] [DC] [FL] [GA] [HI	] [ ID ]
[IL] [IN] [IA] [KS] [KY] [LA] [ME] [MD] [MA] [MI] [MN] [MS	] [MO].
[MT] [NE] [NV] [NH] [NJ] [NM] [NY] [NC] [ND] [OH] [OK] [OR	[ PA ]
(DI) (SC) (SD) (TN) (TY) (IT) (VT) (VA) (WA) (WV) (WI) (WV	ו ממו ו

(Use blank sheet, or copy and use additional copies of this sheet, as necessary.)

#### 1. Enter the aggregate offering price of securities included in this offering and the total amount already sold. Enter "0" if answer is "none" or "zero." If the transaction is an exchange offering, check this box \( \square\) and indicate in the columns below the amounts of the securities offered for exchange and already exchanged. Aggregate Amount Already Type of Security Offering Price Sold Debt ..... 0.00 0.00 0.00 ☐ Common ☐ Preferred 0.00 0.00 Convertible Securities (including warrants)..... 0.00 0.00 Other (Specify LLC Interestes \_\_\_\_\_).....\$\_\_\_ 3,000,000.00 2,273,500.00 3,000,000.00 Answer also in Appendix, Column 3, if filing under ULOE. 2. Enter the number of accredited and non-accredited investors who have purchased securities in this offering and the aggregate dollar amounts of their purchases. For offerings under Rule 504, indicate the number of persons who have purchased securities and the aggregate dollar amount of their purchases on the total lines. Enter "0" if answer is "none" or "zero." Aggregate Number Dollar Amount Investors of Purchases 1,673,500.00 20 600,000.00 Non-accredited Investors ..... Total (for filings under Rule 504 only) ..... Answer also in Appendix, Column 4, if filing under ULOE. 3. If this filing is for an offering under Rule 504 or 505, enter the information requested for all securities sold by the issuer, to date, in offerings of the types indicated, in the twelve (12) months prior to the first sale of securities in this offering. Classify securities by type listed in Part C - Question 1. Type of Dollar Amount Type of offering Security Sold 0.000.00 Regulation A.... 0 0.00 0.00 Furnish a statement of all expenses in connection with the issuance and distribution of the securities in this offering. Exclude amounts relating solely to organization expenses of the issuer. The information may be given as subject to future contingencies. If the amount of an expenditure is not known, furnish an estimate and check the box to the left of the estimate. 0.00 6,427.72 3,652.50 0.00 Accounting Fees 0.00 Engineering Fees ..... 227,350.00 Sales Commissions (specify finders' fees separately)..... Other Expenses (identify) Portfolio Structuring & Organization 90,940.00 328,370.22 Total

C. OFFERING PRICE, NUMBER OF INVESTORS, EXPENSES AND USE OF PROCEEDS

	J. J. 1214, J. 14402, 1101123.	<u> </u>					
ti	Enter the difference between the aggregate off on 1 and total expenses furnished in response to djusted gross proceeds to the issuer."	Part C - Question 4.a. This difference	is the			<b>S_</b>	2,671,629.78
u e	dicate below the amount of the adjusted gross ped for each of the purposes shown. If the amount of the left of the estimate and check the box to the left of the estimate adjusted gross proceeds to the issuer set forth	ount for any purpose is not known, furnate. The total of the payments listed mus	ish an t equal				, ·
				Payments Officers Directors Affiliate	s, , &	. ]	Payments To Others
	Salaries and fees		- □ \$		0.00	□ <b>s</b> _	0.00
	Purchase of real estate		□ \$		0.00	□ <b>s</b> _	0.00
	Purchase, rental or leasing and installation of	machinery and equipment	□ \$		0.00	□ <b>\$</b> _	0.00
•	Construction or leasing of plant buildings and t	facilities	□ <b>\$</b>		0.00	□ \$_	0.00
	Acquisition of other businesses (including the offering that may be used in exchange for the issuer pursuant to a merger)	assets or securities of another	П		0.00	П«	0.00
	Repayment of indebtedness						0.00
·	Working capital					□ \$ _	
		,					
	Other (specify): Purchase of real estate securities		டு		0.00	∟ \$_	2,040,074.70
			□ <b>\$</b>		0.00	□ \$_	0.00
	Column Totals		□ <b>\$</b>		0.00	□ \$_	2,671,629.78
	Total Payments Listed (column totals added)				§ <u>2</u>	,671,62	9.78
		D. FEDERAL SIGNATURE	100		(28-b) (89)		
follo	ssuer has duly caused this notice to be signed by wing signature constitutes an undertaking by the of its staff, the information furnished by the is	issuer to furnish to the U.S. Securities a	and Exc	hange Con	nmiss	ion, up	on written re-
	r (Print or Type) eWaay Fund, LLC	Signature	· · · · · · · · · · · · · · · · · · ·	.  1	Date	119	101
Nam	e of Signer (Print or Type)	Title of Signer (Print or Type)				<del></del> -	
Jeri I	luth	Vice President, MacKenzie Patteson, Inc	., Mana	ging Memb	er		
	<del></del>						

ATTENTION -

Intentional misstatements or omissions of fact constitute federal criminal violations. (See 18 U.S.C. 1001.)

 E. STATE SIGNATURE	are kanis	a niş
Is any party described in 17 CFR 230.262 presently subject to any of the disqualification provisions of such rule?	Yes	No M
See Appendix, Column 5, for state response.		

- 2. The undersigned issuer hereby undertakes to furnish to any state administrator of any state in which this notice is filed, a notice on Form D (17 CFR 239.500) at such times as required by state law.
- 3. The undersigned issuer hereby undertakes to furnish to the state administrators, upon written request, information furnished by the issuer to offerees.
- 4. The undersigned issuer represents that the issuer is familiar with the conditions that must be satisfied to be entitled to the Uniform limited Offering Exemption (ULOE) of the state in which this notice is filed and understands that the issuer claiming the availability of this exemption has the burden of establishing that these conditions have been satisfied.

The issuer has read this notification and knows the contents to be true and has duly caused this notice to be signed on its behalf by the undersigned duly authorized person

Issuer (Print or Type) MP DeWaay Fund, LLC	Signature	Date 12/19/01
Name (Print or Type)	Title (Print or Type)	
Jeri Bluth	Vice President, MacKenzie Patterson, Inc., Managing Mer	mber

### Instruction:

Print the name and title of the signing representative under his signature for the state portion of this form. One copy of every notice on Form D must be manually signed. Any copies not manually signed must be photocopies of the manually signed copy or bear typed or printed signatures.

#### APPENDIX

- 1		2	3		· · · · · · · · · · · · · · · · · · ·	4	· · · · · · · · · · · · · · · · · · ·		5
	to non-a	I to sell accredited s in State -Item 1)	Type of security and aggregate offering price offered in state (Part C-Item 1)		amount pur	investor and chased in State C-Item 2)		under Sta (if yes explan waiver	ification ate ULOE , attach ation of granted) -Item1)
				Number of Accredited	·	Number of Non-Accredited			
State	Yes	No		Investors	Amount	Investors	Amount	Yes	No
AL									
AK						· · · · · · · · · · · · · · · · · · ·			
AZ								<u></u>	,
AR	· · · · · ·								
CA	X		LLC Units \$3,000,000	1	1,000.00				X
со			l						
CT					-				
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IL									
ΙΝ									
IA	X		LLC Units \$3,000,000	. 43	1,622,500.00	20	600,000.00	, .	X
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MN									
MS									
МО	X		LLC Units \$3,000,000	, 1	50,000.00				

#### APPENDIX

Intend to sell   Inte	• 1		2	3			4			5
State   Yes   No		to non-a	accredited s in State	and aggregate offering price offered in state		amount pur	chased in State C-Item 2)		under Sta (if yes explan waiver	ate ULOE, attach ation of granted)
State   Yes   No	•									
NE         NV           NH         NH           NJ         NM           NM         NY           NC         ND           ND         OH           OK         OOH           OR         OR           PA         RI           SC         SD           TN         TX           UT         VT           VA         WA           WV         WV	State	Yes	No			Amount	Investors	Amount		No
NV	MT							·	· · ·	
NH         NJ           NM         NM           NY         NC           ND         O           OH         O           OK         O           OR         O           PA         I           RI         SC           SD         TN           TX         UT           VT         VA           WA         WA           WV         WI	NE									
NI	NV	ļ								-
NM NY NC ND NC ND ND NO ND NO NO ND NO NO ND NO	NH									
NY NC ND OH OH OK OR OR PA RI SC SD TN TX UT VT VA WA WA WV WI	NJ							·		
NC         ND           ND         OH           OH         OK           OK         OR           PA         RI           SC         SD           TN         TX           UT         VT           VA         WA           WV         WI	NM									
NC         ND           OH         OK           OK         OR           PA         RI           SC         SD           TN         TX           UT         VT           VA         WA           WV         WI	NY									
ND         OH         OK         OR         PA         RI         SC         SD         TN         TX         UT         VA         WA         WV         WI	NC				٠,					
OK OR	ND									/
OR         PA           RI         SC           SD         TN           TX         UT           VT         VA           WA         WV           WI         WI	ОН									
PA         RI           SC         SD           TN         TX           UT         VT           VA         WA           WV         WI	ОК					,				
RI       SC         SD       SD         TN       TX         UT       UT         VA       VA         WA       WV         WI       WI	OR									
SC         SD           TN         TX           UT         VT           VA         WA           WV         WI	PA					,				
SD         TN           TX         TX           UT         TX           VT         TX           VA         TX           WA         TX           WA         TX           WY         TX           WI         TX           TX         <	RI				,					
SD         TN           TX         TX           UT         TX           VT         TX           VA         TX           WA         TX           WA         TX           WY         TX           WI         TX           WI         TX           TX         <	SC									
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WA WV WI	VT									
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WV WI	WA									
WI										
	WI								···	
PR PR	PR	:								



# Form U-2

Form U-2 Uniform Consent to Service of Process

Know all men by these present
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nomenclature] for purposes or sale of securities, hereby such offices, its attorney in action or proceeding agains laws of the States so design be commenced in any court service of process upon the the laws of that State and ha	ed MP DeWaay under the laws of Califo of complying with the laws of the irrevocably appoints the officers those States so designated upon a t it arising out of, or in connection ated; and the undersigned does he of competent jurisdiction and pro officers so designated with the sa ave been served lawfully with pro a copy of any notice, process or	ne States indicated hereunder related of the States so designated here whom may be served any notice, in with, the sale of securities or opereby consent that any such action oper venue within the States so came effect as if the undersigned vicess in that State.	[strike out inapplicable ating to either the registration under and their successors in process or pleading in any ut of violation of the aforesaid on or proceeding against it may designated hereunder by was organized or created under
Jeri Bluth	a copy of any notice, process or	pleading served hereunder be mi	aned to:
Jen Bluui	(N	ame)	
1640 School Street, Moraga	•	unic)	
1040 School Street, Molago		ldress)	
	nes of all the States for which the ttorney in that State for receipt of Secretary of State.  Administrator of the		Securities Commissioner.  Public Service Commission.
	Division of Banking and Corporations, Department of Commerce and Econom- ic Development.	COLUMBIA  FLORIDA	Department of Banking and Finance.
ARIZONA	The Corporation Commission.	GEORGIA GUAM	Commissioner of Securities.  Administrator, Department
ARKANSAS	The Securities Commissioner.	HAWAII	of Finance.  Commissioner of Securities
X CALIFORNIA	Commissioner of Corporations	IDAHO	Director, Department of Finance.
COLORADO	Securities Commissioner.	ILLINOIS	Secretary of State.
CONNECTICUT	Banking Commissioner.	INDIANA	Secretary of State.

X IOWA	Commissioner of Insurance	ce. NORTH DAKOTA	Securities Commissioner.
KANSAS	Secretary of State	оню	Secretary of State.
KENTUCKY	Director, Division of Securities.	OREGON	Director, Department of Insurance and Finance.
LOUISIANA	Commissioner of Securities	es OKLAHOMA	Securities Administrator.
MAINE	Administrator, Securities Division.	PENNSYLVANIA	Pennsylvania does not require filing of a Consent to Service of Process.
MARYLAND	Commissioner of the Division of Securities.	PUERTO RICO	Commissioner of Financial Institutions.
MASSACHUSETTS	Secretary of State.	RHODE ISLAND	Director of Business
MICHIGAN	Administrator, Corporation and Securities Bureau,		Regulation.
	Department of Commerce	SOUTH CAROLINA	Securities Commissioner.
MINNESOTA	Commissioner of Commerce.	SOUTH DAKOTA	Director of the Division of Securities.
MISSISSIPPI	Secretary of State.	TENNESSEE	Commissioner of Commerce and Insurance.
× missouri	Securities Commissioner.	TEXAS	Securities Commissioner.
MONTANA	State Auditor and	<del></del>	
	Commissioner of Insuranc	e UTAH	Director, Division of Securities.
NEBRASKA	Director of Banking and Finance.	VERMONT	Commissioner of Banking, Insurance, Securities, and Health Care Administration
NEVADA	Secretary of State.	VIRGINIA	Clerk, State Corporation
NEW HAMPSHIRE	Secretary of State.		Commission.
NEW JERSEY	Chief, Securities Bureau.	WASHINGTON	Director of the Department of Licensing.
NEW MEXICO	Director, Securities Division	on. WEST VIRGINIA	Commissioner of Securities.
NEW YORK	Secretary of State.	WISCONSIN	Department of Financial
NORTH CAROLINA	Secretary of State.		Institutions, Division of Securities.
		WYOMING	Secretary of State.
Dated this 19th da	y of December		
		1-1 11	
		Jouth	
(SEAL)		By Jeri Bluth	
		Vice President, MacKenzie Patterson	ı, Inc., Managing Member

# CORPORATE ACKNOWLEDGMENT

State or Province of California  County of Contra Costa	} ss.				
On this 19th day of Dec	cember	, 19 200 before	: me	Jennifer L. Moser	the
undersigned officer, personally appear					
personally to me to be theVio	ce President	of the above na	amed corporat	ion and acknowledged	that he, as an
officer being authorized so to do, ex-	ecuted the fore	going instrument f	or the purpose	es therein contained, t	y signing the
name of the corporation by himself as	an officer.				
IN WITNESS WHEREOF I have here	eunto set my har	nd and official seal.	•		
C JENNIFER L MOSERS Commission # 1213166 Notary Public - Collifornia		Notary Public/C			<u> </u>
(SEAL) Centra Gosta Countyra 7		My Commission	1 Expires Mar	cn 14, 2003	
INDIVII	OUAL OR PAR	RTNERSHIP ACK	NOWLEDG	MENT	
State or Province of					
County of	} SS.				
On this day of		, 19	, before me,		
the undersigned officer, personally a	ppeared				to me
personally known and known to me to	be the same per	son(s) whose name	(s) is (are) sign	ned to the foregoing in	strument, and
acknowledged the execution thereof fo					·
IN WITNESS WHEREOF I have herei	unto set my hand	d and official seal.			
		Notary Public/Co	ommissioner o	f Oaths	
(SEAL)		·		1 Outno	
		•			